

THE STATE OF ARIZONA'S GUIDE TO THE STATEWIDE ELIGIBLE TRAINING PROVIDER APPLICATION AND LIST

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SECTION I. OVERVIEW

REFERENCES AND CITATIONS

Workforce Investment Act of 1998

Workforce Investment Act; Final Rules. Federal Register/Volume 65, Number 156/Friday, August 11, 2000/Rules and Regulations: Department of Labor Employment and Training Administration: 20 CFR Part 652, et al.

Workforce Investment Act State Plan, Public Hearing Draft, January 2000

EFFECTIVE DATE

February 18, 2000, with revisions dated May 11, 2001

PURPOSE OF THE GUIDE

This guide provides policy for Arizona's fifteen (15) Local Workforce Investment Boards (LWIBs) to use in identifying eligible training providers and programs. It also establishes a common application process throughout the state for Arizona's Statewide Eligible Training Provider (ETP) List, as mandated by the Workforce Investment Act (WIA) of 1998. The guide includes:

- Definitions and terms.
- Questions and answers about the statewide eligible training provider process.
- ETP application and instructions, including re-certification.
- ETP application process flow chart.
- Stakeholder roles and responsibilities.
- Instructions for obtaining performance data for re-certification.

The guide will be updated as federal, state, and local implementation policies require changes. For matters of administration, the Department of Economic Security and its partner, the Department of Education, will represent the State of Arizona. All matters assigned to the State by this policy will be the responsibility of the Department of Economic Security, Workforce Development Administration.

BACKGROUND

The Workforce Investment Act of 1998 was designed to:

- Give states and local areas more authority to tailor programs to local needs.
- Strengthen One Stop service delivery to provide easy access to information about jobs and job training for all One Stop customers.

- Establish Individual Training Accounts (ITAs) and a Consumer Report System (CRS), including a Statewide Eligible Training Provider (ETP) List, so customers can make informed choices.
- Integrate the Consumer Report System into a process of continuous process improvement.

The WIA provides funding through LWIBs to provide “core, intensive and training services” to eligible adult and dislocated worker customers. WIA mandates “an individual training account system” that requires one-stop operators to provide eligible customers with ITAs to pay for training at the educational institution of the customer’s choice. The intent is to offer customers more choice in selecting training providers than was previously available.

According to the Workforce Investment Act Final Rules and Regulations, dated August 11, 2000, “Training services, whether under ITAs or under contract, must be provided in a manner that maximizes informed consumer choice in selecting an eligible provider . . . An individual who has been determined eligible for training services . . . may select a provider . . . after consultation with a case manager.”

The Eligible Training Provider List and Individual Training Accounts are the means for providing better customer choice. In accordance with WIA, customers that qualify for training services have an ITA established for them through the local case management process. The ITA is the tool for identifying customer training needs and the amount of funding available. The customer then selects training programs on the ETP List that meet their training needs.

In conjunction with the ETP List is the Consumer Report System, which is also required by WIA. The CRS provides customers with information about a training program’s cost and performance in terms of percentages of people who graduate from the program and find work. The CRS also provides useful information such as training program locations, access to transportation, and scheduling information.

SECTION II. ELIGIBLE TRAINING PROVIDERS UNDER THE WIA

TRAINING PROVIDER QUALIFICATIONS

The training provider eligibility process is intended to ensure that a variety of quality training programs are available from which workforce customers can make an informed selection. Any organization that meets the application requirements may become an eligible training provider if approved by an LWIB. This includes postsecondary education institutions, apprenticeship programs, vocational and technical schools, private sector training providers, and community-based organizations.

There are two different types of training programs: 1) those eligible under Title IV of the Higher Education Act or registered under the National Apprenticeship Act; and 2) all other training programs. There are also two stages of eligibility for a specific training program: 1) initial or first year of application for a specific training program and 2) subsequent re-certification. The Eligible Training Provider (ETP) application included in this guide provides a single application format for the different types of training programs and stages of eligibility.

APPLICATION PROCESS FOR INITIAL ELIGIBILITY

All training providers, including institutions and community-based organizations that would like to make training programs available to eligible WIA customers, are required to make an initial application to an LWIB. Training providers may submit applications to an LWIB in any area where they wish to provide training services. Approved training providers are forwarded to the Arizona Department of Education (ADE) for inclusion in the Eligible Training Provider (ETP) List.

Training providers may make an application at any time to a local board. Local boards must approve or disapprove the application within thirty (30) days and forward approved applications to the Arizona Department of Education. The State must validate and place the provider on the statewide list within thirty (30) days of receipt of the application from an LWIB.

Training providers may choose to apply to multiple local boards or can submit an application to one local board. For example, a training provider may provide a training program in County A and County B. The provider could submit one application to County A that includes training locations in the other area.

If performance data is not available at the time of the initial application, the training provider will include a description of how they will gather the data elements (such as social security numbers) that are required to obtain performance data for re-certification.

REQUIRED APPLICATION ELEMENTS

The following elements are required in the application:

- A description of each training program the provider intends to make available to WIA customers. Training providers do not receive blanket approval for all their programs.
- Training program costs.
- Information about performance for each program of training, such as the number of participants who complete the training and the number of participants who gain employment in the field of training.

The State identifies minimum performance levels that training programs are required to achieve. Arizona's Workforce Investment Act State Plan, Public Hearing Draft dated January 2000, identifies 70% as the minimum performance level for training and employment-related performance measures.

APPLICATION PROCESS FOR POSTSECONDARY EDUCATION INSTITUTIONS AND REGISTERED APPRENTICESHIP PROGRAMS

According to the Workforce Investment Act, postsecondary educational institutions under Title IV of the Higher Education Act of 1965 and apprenticeship programs under the National Apprenticeship Act, "while required to make an application, are to be considered approved (initially) with the submission of a completed application."

Pre-approved training providers must submit a complete application packet regardless of their pre-approved status. These training providers are required to apply for annual re-certification in the same manner as all other approved training providers. The application packet details the re-certification requirements, which include collecting performance information and meeting the State's 70% minimum performance measures.

WIA makes no provisions for providers of training programs other than registered apprenticeship programs or postsecondary institution programs to be pre-approved. One reason is that some of the training programs may not meet the WIA criteria for "training program." The program may be designed for specific populations with specially scheduled classes open only to certain individuals. These programs are considered "customized" training programs and can be considered only for contract through the LWIB request for proposal process.

RE-CERTIFICATION PROCESS

Beginning July 1, 2001, all training providers currently on the list, including postsecondary education institutions and registered apprenticeship programs, are required annually to complete the re-certification section of the Eligible Training Provider (ETP) application. The re-certification information is submitted to the LWIB that originally approved the training program. For re-certification, training providers must submit specific performance information.

The application in this guide can be used for re-certification. Re-certification requires an update of the initial application form, including modification to currently approved training programs, and the submission of performance data. The re-certification process ensures that training provider information is as accurate as possible and updates the performance data to ensure that each training provider's performance meets the performance standards.

ROLES AND RESPONSIBILITIES

The Workforce Investment Act of 1998 outlines the intended collaboration between local boards, the state, and training providers. The responsibilities of each partner are as follows:

LWIB responsibilities include:

- Notifying potential training providers in the LWIBs geographic area of the opportunity to apply for status as an approved training provider.
- Coordinating with other LWIBs to reduce duplication of effort in soliciting training providers.
- Ensuring that training providers who intend to apply using a paper application have access to the format/forms for making initial and subsequent applications.
- Annually creating and providing a list of local occupations-in-demand.
- Approving initial and subsequent applications and forwarding the applications to the Department of Education for review.

State responsibilities include:

- Establishing procedures for a common statewide application process that includes WIA required information.
- Compiling, updating, and maintaining the Eligible Training Provider (ETP) list.
- Reviewing applications approved by LWIBs for administrative correctness, program viability, and program stability.
- Disseminating the ETP list to the One-Stop system.
- Coordinating the process whereby training providers submit information about their universe of students and receive performance data calculated using unemployment insurance records.
- Providing technical assistance and monitoring activities throughout the system.

LWIB and State joint responsibilities include:

- Monitoring training provider performance.
- Coordinating to ensure that training provider applications are approved and placed on the statewide list in a timely manner.
- Denying a training provider initial eligibility or subsequent eligibility (re-certification) under certain conditions.

Training provider responsibilities include:

- Submitting a complete application for a training program to an LWIB according to the LWIB's requirements.
- Submitting re-certification applications to the LWIB that initially approved the application.

- Collecting information about the student cohort \student universe that is required for performance measures.
- Submitting updated information, such as changes in training programs, to the approving LWIB as the change occurs.
- Submitting non-material changes, such as a change in a phone number, directly to the ETP list through the website.

DENIAL OF INITIAL ELIGIBILITY OR RE-CERTIFICATION

LWIBs have the responsibility and authority to approve or deny training provider applications, based on local, written procedures for initial eligibility and re-certification. When a training program is determined ineligible, the LWIB is responsible for notifying the training provider in writing. LWIBs and the State have a responsibility to coordinate this decision with each other and must communicate an intent to deny eligibility or re-certification to the other party before taking written action. Notification of denial must be in writing and must occur within thirty (30) days of receiving the application. When the LWIB initiates the action, a copy is furnished to the State. Should the State deny a training provider for reasons related to administrative correctness, program viability, or program stability, a copy is furnished to the LWIB.

A training provider may be denied eligibility or removed from the statewide list for the following reasons:

- The application is not complete.
- The program does not meet the definition of WIA training services.
- Performance data is not included with the application or does not meet the minimum performance measures.
- The training program does not support the occupations-in-demand for the area.
- The training provider is not in compliance with WIA, regulations, or any agreement executed under WIA.

The State is required by WIA to remove training providers from the statewide list when:

- It is determined that the training provider intentionally supplied inaccurate information.
- The training provider substantially violated any requirement under WIA.

APPEALS

A notice to deny eligibility must clearly state that the training provider has the right to appeal within a designated period of time from the date the denial notice is mailed. LWIBs determine a written appeal procedure in accordance with local policy. All appeals are filed with the LWIB regardless of which agency denied eligibility.

WAIVERS FOR PERFORMANCE DATA

For the initial application only, performance data is not mandatory for National Apprenticeship Act training programs or for postsecondary institutions meeting the requirements of the Higher

Education Act. As determined by the LWIB, performance data requirements may be waived for the year of initial eligibility in order to allow the training provider an opportunity to develop a data collection system.

Performance data is required from all other training providers for initial program certification. For the initial certification only, if performance data is not available, the provider shall supply an explanation and detail future plans for collecting the data.

LOCATION OF THE ELIGIBLE TRAINING PROVIDER LIST

The Department of Education provides a paper copy of the ETP List to all LWIBs for placement in One Stop Centers. The most current information is available on the Internet at www.ade.state.az.us/arizonaheat.

MARKETING TO POTENTIAL TRAINING PROVIDERS

LWIBs may solicit potential training providers in a variety of ways including public hearings, direct mailings, newspaper notices, and web notices. The intent of the WIA is to provide local areas with as much control as possible; therefore LWIBs should use the methods that will yield the best results for their local area.

Training providers may apply to any local area in which they desire to provide services and LWIBs may solicit training providers from any area. While the intent provides increased customer choice, it may also create duplication of effort. Local boards are encouraged to coordinate with other local boards and to partner with training providers in the development of an inclusive, but not duplicative, process for soliciting training provider applications.

APPROVAL

LWIBs must approve or deny training providers within 30 days of the receipt of the application. Local boards must forward the approval to the State for inclusion on the next updated state list. Customers may use the training provider when the provider appears on the statewide list.

FINANCIAL STABILITY

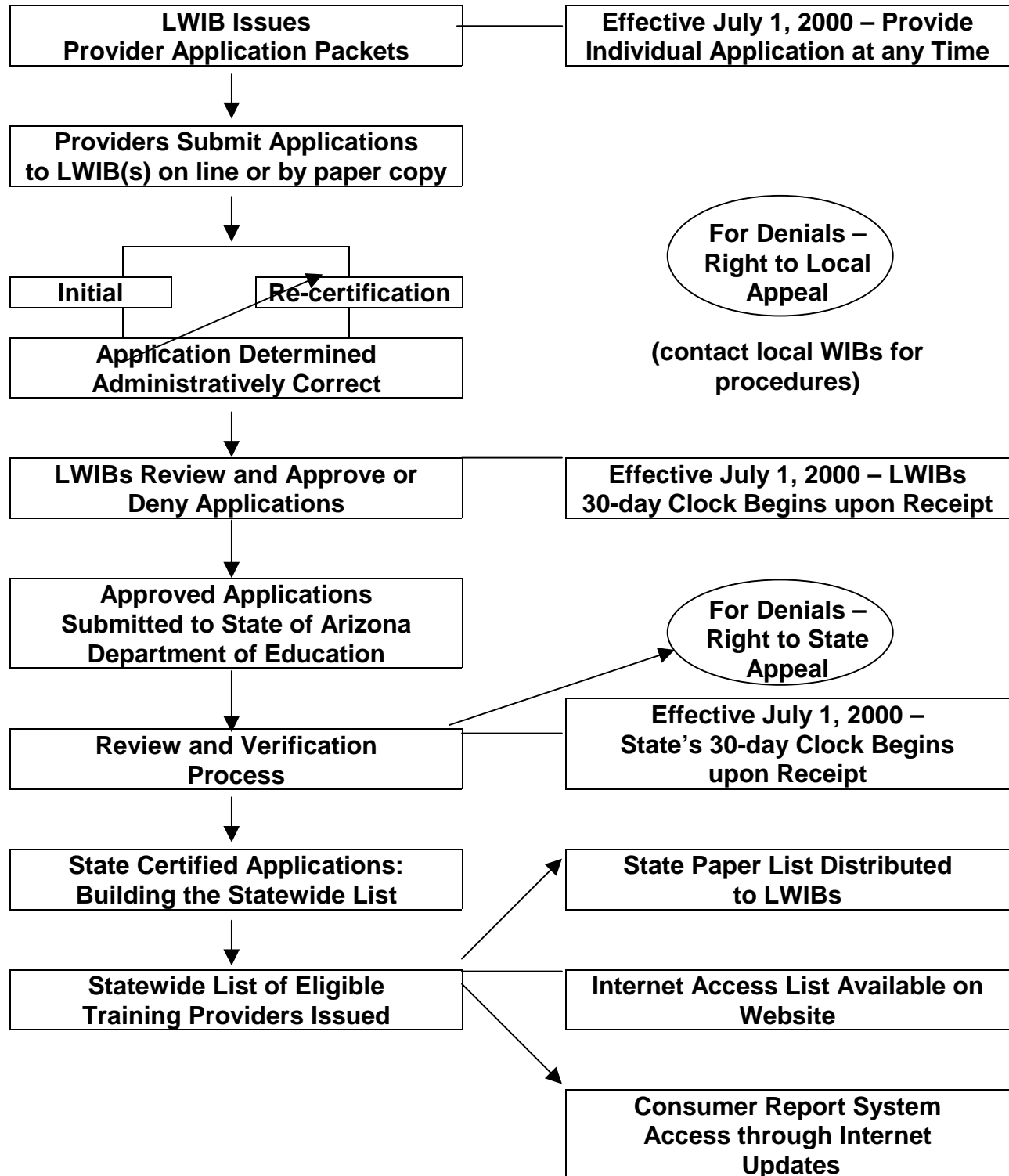
The training provider application requests information such as licenses and accreditations, as well as financial audit information. These items are subject to monitoring and verification by the State. However, local boards frequently have more information and a better sense of the quality of the training provider and have the option to request additional information.

POINT OF CONTACT FOR QUESTIONS

Please direct all questions to Pat Gegan, Department of Economic Security, Workforce Development Administration, at (602) 542-3957 or through e-mail at pgregan@de.state.az.us.

THE APPLICATION PROCESS

FLOW CHART FOR APPLICATION PROCESS



SECTION III. DEFINITIONS AND TERMS

APPRENTICESHIP

When used in reference to the ETP List, apprenticeship refers to a training program that is carried out under the National Apprenticeship Act of 1937. The Act provides for a uniform system of apprenticeship standards throughout the United States. On behalf of Arizona, the Arizona Apprenticeship Advisory Committee (a member of the Governor's Council on Workforce Development Policy) approves standards in skilled trades and occupations and registers apprenticeship programs. Under WIA, registered apprenticeship programs are considered eligible training programs with the submission of an initial application to local boards.

CONSUMER REPORT SYSTEM (CRS)

The Consumer Report System (CRS), mandated by WIA, is a tool for providing WIA eligible and other workforce customers with information about the labor market, jobs, and occupations, as well as training programs and training providers. The system, which includes the statewide Eligible Training Provider (ETP) List and training provider performance information, is located at One-Stop centers and on the Internet at www.ade.state.az.us/arizonaheat. The Internet-based system includes additional information, such as links to training provider web pages, and has the capability for training providers to submit an application and update information online.

DEPARTMENT OF ECONOMIC SECURITY

The Department of Economic Security refers to the State of Arizona Department that has policy responsibility for the ETP List. Within the Department of Economic Security, the responsibility rests with the Workforce Development Administration.

DEPARTMENT OF EDUCATION

The Department of Education is responsible for maintaining the ETP List, both on paper and on the Internet. The Department of Education also reviews the applications approved by LWIBs for administrative accuracy, program viability, and program stability.

ELIGIBLE TRAINING PROVIDER (ETP) LIST

The list is a compilation of all training provider programs approved by LWIBs. Available information includes physical locations, addresses, and contact numbers for each eligible training provider. The ETP List, located on the Internet at www.ade.state.az.us/arizonaheat, is updated regularly. Paper copies are published twice yearly and distributed to LWIBs for placement at One Stop centers.

ELIGIBLE TRAINING PROVIDER

A training provider is: (a) a postsecondary educational institution that is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 and provides a program that leads to an associate degree, baccalaureate degree, or certificate; (b) an entity that carries out programs under the National Apprenticeship Act; or (c) another public or private provider of a program of training services. Additionally, the training provider must have submitted an application and been approved by an LWIB. In Arizona, the basic application is the same in all local workforce investment areas, although local boards may require additional information or have higher performance standards.

INITIAL ELIGIBILITY

Refers to the first year a training provider applies and is approved to have a program placed on the ETP list. The initial application asks for performance data and for the method that will be used to gather and calculate the information used for performance. Performance data for initial eligibility may be waived by the LWIB reviewing the application.

OCCUPATIONS-IN-DEMAND LIST

The Occupations-in-Demand List is a list of jobs in demand in local geographic areas. Each LWIB compiles an annual Occupations-in-Demand List for their area using information obtained from the Department of Economic Security Research Administration, or from the Department of Commerce. LWIBs may narrow the occupation list to those that are most advantageous to the local economy, pay good wages and benefits, and/or can be trained for in a reasonable period of time. LWIBs may also add jobs to the list based on their local knowledge of occupations-in-demand.

PROGRAM OF TRAINING SERVICES

A program of training services is one or more courses or classes, or a structured regimen, that upon successful completion, leads to: (a) A certificate, an associate degree, baccalaureate degree, or (b) The skills or competencies needed for a specific job or jobs, an occupation, occupational group, or generally, for many types of jobs or occupations, as recognized by employers and determined prior to training. The program must also be generally available to the public and have regularly scheduled classes. (–from WIA and the Final Rules)

Examples of services that would not be recognized as a program of training services and do not require an ETP application are:

- A word processing or spreadsheet class that is not generally applicable across a wide range of occupations and does not result in a widely recognized “credential.” This course would be classified as an “intensive” service, not training.
- Stand-alone literacy and basic education are not considered training, but rather are an “intensive” services.

- A training program designed for one specific population, with specially scheduled classes open only to certain individuals, would not be a program of training for the statewide Eligible Training Provider (ETP) List. Local WIBs may choose to provide this type of service outside of the ETP and ITA processes.

SPECIAL POPULATIONS

Applies to special populations defined by the Carl Perkins Act rather than the Workforce Investment Act. Defining special populations according to Carl Perkins Act criteria applies when submitting the information about the student cohort for performance standards.

STUDENT COHORT/ STUDENT UNIVERSE

Applies to the total group of students, including all WIA participants, attending and previously attended an approved training program within a specific timeframe, whose placement and wage data is used to calculate the performance standards for a particular training program.

The total group of students enrolled in an approved training program, including all WIA participants. Placement and wage data from this group of students is used to calculate the performance measures for a particular training program.

SUBSEQUENT ELIGIBILITY

Applies to any year after the first year a training program is placed on the ETP list. In the process of being re-certified for periods of subsequent eligibility, a training provider submits information about the student universe and the student cohort which will be used to calculate performance measures.

WIA PARTICIPANT

An individual who has been determined eligible to participate in a program authorized by WIA and is receiving services. For the purposes of the ETP List, a participant is an adult or dislocated worker who is using an Individual Training Account (ITA) to pay for training supplied by an approved training provider.

APPENDIX A. ELIGIBLE TRAINING PROVIDER APPLICATION

APPENDIX B. OBTAINING PERFORMANCE DATA FOR RE-CERTIFICATION

APPENDIX C. FREQUENTLY ASKED QUESTIONS